

**UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA**

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

JOHN B. BIVONA; SADDLE RIVER
ADVISERS, LLC; SRA MANAGEMENT
ASSOCIATES, LLC; FRANK GREGORY
MAZZOLA

Defendants.

Case No. 3:16-cv-1386

~~PROPOSED~~ ORDER
GRANTING THE
RECEIVER'S REQUEST FOR
THE PAYMENT OF TAX
PREPARER'S FEES FOR
THE PERIOD NOVEMBER 1,
2017 TO APRIL 30, 2018

Date: August 9, 2018

Time: 1:30 AM

Courtroom: 5

Judge: Edward M. Chen

The Receiver in the above matter, Sherwood Partners, Inc. ('Sherwood'), requests that this Court approve its Motion to Pay the Fees and Expenses of tax preparers retained by it pursuant to this Court's Order of October 11, 2016, Docket No. 142, ("the Order")

The Receiver makes this Motion based upon the accompanying Declaration of Michael Maidy of Sherwood, and Exhibit A attached thereto. The Declaration of Maidy states that (i) he and Sherwood have previously worked with Fineman West LLP ("Fineman") and find their work to be capable and efficient; (ii) the fees and expenses of Fineman were reasonable and necessary; (iii) that the work of Fineman was at all times only the work that was authorized by the Receiver; and (iv) that the fees and expenses of Fineman at all times followed the guidelines of the SEC in its "Billing Instructions for Receivers". The amount requested by Fineman totalled \$33,778.50 for the period November 1, 2017 to

1 April 30, 2018, in which it completed four (4) separate federal and state
2 tax returns for Relief Defendants SRA I, SRA II and SRA III, and
3 Defendant SRA Management Associates LLC.

4 The Receiver also requests that the retention of the firm of
5 Fineman be retroactively approved if, pursuant to Section XIV of the
6 Order, advance approval for its use was required. The Receiver notes
7 that its staff, in reading Section XIV's first paragraph, believed in good
8 faith that such approval was not necessary.

9 GOOD CAUSE APPEARING, the Court hereby authorizes the
10 Receiver to pay the above amount of \$33,778.50 to Fineman. The Court
11 also authorizes the use of Fineman by the Receiver for further tax
12 preparation work done within the scope of its order of October 11,
13 2016, Docket No. 142.

14
15 IT IS SO ORDERED.

16 DATED: ^{August}~~July~~ 2, 2018



Judge Edward M. Chen
United States District Court